



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/846,682 | 05/02/2001 | Michael Sasges | T8466399US |

CONFIRMATION NO. 2919

FORMALITIES LETTER



OC00000005230104

26912
GOWLING LAFLEUR HENDERSON LLP
COMMERCE COURT WEST, SUITE 4900
TORONTO, ON M5L 1J3
CANADA

Date Mailed: 06/27/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- o Total additional claim fee(s) for this application is \$9.
 - o \$9 for 1 total claims over 20.
- o The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- o To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- o The balance due by applicant is \$ 429.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/30/2001 JBALINAH 00000072 071750 09846682

| | |
|-----------|-----------|
| 01 FC:201 | 370.00 CH |
| 02 FC:203 | 9.00 CH |
| 03 FC:205 | 65.00 CH |

Sector #5
9/6

| | | | |
|---|-----------------------------------|--|----------------|
| Response To Notice To File Missing Parts Of Application Filing Date Granted (PTO-1533)(Small Entity) | | Docket No. T8466399US | |
| In Re Application Of SASGES, Michael | | | |
| Serial No. 09/846,682 | Filing Date May 2, 2001 | Examiner | Group Art Unit |
| Invention: OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS | | | |
| <p align="center"><u>TO THE ASSISTANT COMMISSIONER FOR PATENTS:</u></p> <p align="center"><u>Box Missing Parts</u></p> <p>This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on <u>June 27, 2001</u>.</p> <p align="center"><i>Date</i></p> <p>Enclosed herewith for filing are the following:</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). (REQUIRED) <input checked="" type="checkbox"/> An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date. <input checked="" type="checkbox"/> A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date. <input type="checkbox"/> An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date. <input type="checkbox"/> A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office. <input checked="" type="checkbox"/> <u>One</u> verified small entity declaration(s) <ul style="list-style-type: none"> <input checked="" type="checkbox"/> is/are attached. <input type="checkbox"/> was/were filed on _____ <input type="checkbox"/> A separate request for refund. <input checked="" type="checkbox"/> Other (list): <div style="border: 1px solid black; height: 100px; margin-top: 10px;"> <p>Assignment Transmittal</p> </div> | | | |

Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533)(Small Entity)

Docket No.
T8466399US

In Re Application Of:

SASGES, Michael

Serial No.

09/846,682

Filing Date

May 2, 2001

Examiner

Group Art Unit

Invention:

OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Attention: Manager, Application Branch

Completion of application fees as calculated below:

| | |
|---|-----------------------------|
| <input checked="" type="checkbox"/> Utility application filing fee | <u>\$370.00</u> |
| <input type="checkbox"/> Design application filing fee | <u> </u> |
| <input checked="" type="checkbox"/> Total number of independent claims = <u>3</u> | <u> </u> |
| <input checked="" type="checkbox"/> Total number of claims = <u>21</u> | <u>\$9.00</u> |
| <input type="checkbox"/> Multiple dependent claims | <u> </u> |
| <input checked="" type="checkbox"/> Surcharge for late payment of filing fee and/or late filing of original declaration or oath | <u>\$65.00</u> |
| <input type="checkbox"/> Petition and fee for filing by other than all the inventors or a person not the inventor | <u> </u> |
| <input type="checkbox"/> Fee for processing an application filed with a non-English language specification | <u> </u> |
| <input type="checkbox"/> Fee for processing and retention of application | <u> </u> |
| Total completion of application fees | <u>\$444.00</u> |

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☐ One month ☒ Two months ☐ Three months ☐ Four months ☐ Five months

from: August 27, 2001

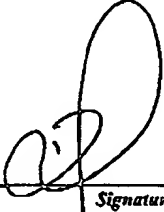
Date

until: October 27, 2001

Date

Total time extension fees \$200.00

Total fees due \$644.00

| | | | |
|---|--|--|--|
| Response To Notice To File Missing Parts Of Application Filing Date Granted (PTO-1533) (Small Entity) | | | Docket No. T8466399US |
| In Re Application Of: SASGES, Michael | | | |
| Serial No. 09/846,682 | Filing Date May 2, 2001 | Examiner | Group Art Unit |
| Invention: OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS | | | |
| <u>TO THE ASSISTANT COMMISSIONER FOR PATENTS:</u> <u>Attention: Manager, Application Branch</u> | | | |
| <p>The fee of \$644.00 is to be paid as follows:</p> <p><input type="checkbox"/> A check in the amount of the fee is enclosed.</p> <p><input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 07-1750 A duplicate copy of this sheet is enclosed.</p> <p><input checked="" type="checkbox"/> If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 07-1750 A duplicate copy of this sheet is enclosed.</p> | | | |
|  _____ <i>Signature</i> | | Dated: October 29, 2001 | |
| CC: | | <p>I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.</p> <p>_____ <i>Signature of Person Mailing Correspondence</i></p> <p>_____ <i>Typed or Printed Name of Person Mailing Correspondence</i></p> | |

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) AND 1.27 (c)) - SMALL BUSINESS CONCERN**Docket No.
T8466399US

Serial No.

09/846,682

Filing Date

May 2, 2001

Patent No.

Issue Date

Applicant/ TROJAN TECHNOLOGIES INC.

Patentee:

Invention: OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: Trojan Technologies Inc.

ADDRESS OF CONCERN: 3020 Gore Road, London, Ontario, Canada N5V 4T7

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.
☐ each such person, concern or organization is listed below.

FULL NAME _____

ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME _____

ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME _____

ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME _____

ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: MARTIN J. BRACKEN

TITLE OF PERSON SIGNING: INTELLECTUAL PROPERTY MANAGER.

OTHER THAN OWNER: _____

ADDRESS OF PERSON SIGNING: 416 PINETREE DRIVE, LONDON, ON, CANADA.
N6H 3M8

SIGNATURE:  DATE: Sept 26/2001